

## DEPARTMENT OF ENERGY

### ADMINISTRATIVE RECORDS SCHEDULE 18: SECURITY, EMERGENCY PLANNING, AND SAFETY RECORDS

06-17-02

Protection program records include the various files created by the Department to control and protect safeguards and security interests (e.g., classified information, sensitive unclassified information, special nuclear materials, nuclear weapons, other Government property); to protect Departmental facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately-owned plants given security cognizance by the Department, and to determine eligibility for access authorization of individuals employed by DOE or its contractors.

Emergency planning records include correspondence, administrative and case files, and test documentation.

Safety records include those that demonstrate the capability for, and the performance of, safe operations.

### **CLASSIFIED INFORMATION RECORDS**

Retirement of non-current records to inactive storage is authorized. Records pertaining to measures taken to protect classified information from unauthorized disclosure in accordance with Executive Order, statutory, regulatory, or DOE requirements.

#### **1. Classified Documents Administrative Correspondence Files. (N1-434-98-21)**

Correspondence files pertaining to the administration of security classification/ declassification, control, and accounting for classified documents. Included are records that document policy, programs, and procedures for the classification/declassification program, including information recorded by personnel who are trained to identify, classify, or declassify documents for sensitive and classified information.

- a. Records which document the policy, standards and procedures for the administration of DOE's classification and declassification program.
  - (1) Program and policy guides, classification manuals, and documents used as guides in determining classification, including DOE action and information papers concerning classification policy.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.  
(N1-434-98-21)

- (2) Records documenting the development of classification policy, including policy studies.

Cut off when superseded. Destroy 50 years after cutoff. (N1-434-98-21)

- (3) Procedures that implement DOE policy and guides

Cut off at end of the fiscal year. Destroy 10 years after cutoff.  
(N1-434-98-21)

- b. Records documenting classification and declassification review actions taken on the basis of established policy, directives, regulations and guides.

- (1) Review actions which deviate from established policy and set a precedent for future action, reflect unusual sensitivity, are of historical interest, or are the subject of litigation.

- (a) Headquarters record set.

Permanent. Cutoff at the close of the fiscal year. Transfer to NARA 25 years after cutoff. (N1-434-98-21)

- (b) All other offices.

Cut off after superseded or when no longer needed for reference.  
Destroy 50 years after cutoff. (N1-434-98-21)

- (2) Review actions that do not deviate from established policy or set a precedent for future action, do not reflect unusual sensitivity, are not of particular historical interest, and are not the subject of litigation.

Cut off at the end of the fiscal year. Destroy 6 years after cutoff.  
(N1-434-98-21)

- (3) Logbooks and correspondence which record notes, comments, actions taken and decisions made, or other information which document the review process.

Cut off at the end of the fiscal year. Destroy 6 years after cutoff.  
(N1-434-98-21)

- (4) Declassification records including change notices, review notices, correspondence, or similar documents including documents that give authority to void, cancel and remove markings from records.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff.  
(N1-434-98-21)

- c. Correspondence files pertaining to the administration of security classification, control and accounting for classified documents, and control of sensitive documents, not covered elsewhere in this section. (GRS 18, item 1)

Cut off at the end of the fiscal year. Destroy 2 years after cutoff. (N1-434-98-21)

**1.1. Information Security Oversight Office Report Files. (N1-434-98-21)**

- a. Reports and correspondence regarding classification reviews submitted to the cognizant Program Office by Field Elements and then compiled and sent to the Information Security Oversight Office (ISOO).

Cut off at the end of the fiscal year. Destroy 4 years after cutoff.

- c. Reports maintained by all other offices.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

**2. Document Receipt Files. (GRS 18, item 2)**

Records documenting the receipt and issuance of classified documents.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

**3. Destruction Certificate Files. (GRS 18, item 3)**

Certificates relating to the destruction of classified documents.

Cut off at the close of the fiscal year. Destroy 2 years after cutoff.

**4. Classified Document Inventory Files. (N1-434-89-3(3))**

Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.

Cut off at the close of the fiscal year. Destroy 5 years after cutoff.

**5. Top Secret Account and Control Files.** (GRS 18, item 5)

- a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.

Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.

- b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

Destroy when related document is downgraded, transferred, or destroyed.

**6. Access Request Files.** (GRS 18, item 6)

Requests and authorizations for individuals to have access to classified files.

Place in inactive file when the authorization expires. Cut off inactive file at the close of the fiscal year. Destroy 2 years after cutoff.

**7. Security Container Records.** (GRS 18, item 7)

- a. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.

Destroy when superseded by a new form or list, or upon turn in of container.

- b. Forms placed on safes, cabinets, or vaults containing classified documents that record opening, closing, and routine checking of the security of the container; locking doors and windows; and activating alarms. Included are forms SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet.

Destroy 3 months following the last entry on the form (see note).

## **PROTECTION PROGRAM RECORDS**

Records relating to measures taken for the protection of DOE-owned, contractor-operated facilities from unauthorized entry, sabotage, or loss.

### **8. Protection Program Administrative Records.** (Additions to GRS 18, item 8)

Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

[NOTE: This item does not cover records documenting policies and procedures accumulated in offices having DOE-wide responsibilities for security and protective services programs.]

#### **8.1 Operations Security.** (N1-434-98-21)

- a. Files which document the policy, standards, and procedures for the administration of DOE's OPSEC programs.

- (1) Program and policy guides, OPSEC manuals, and documents used as guides in administering OPSEC programs. Includes DOE action and information papers concerning OPSEC policy.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.

- (2) Files documenting the development of OPSEC policy, includes policy studies.

Cut off when superseded. Destroy 50 years after cutoff.

- (3) Procedures implementing DOE policy and guides.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff.

- b. Records relative to the management and/or operation of agency and contractor OPSEC Programs including correspondence, plans, meeting minutes, audits, and other similar records.

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

## **8.2 Computer Information Protection Plan/Contingency Plan. (N1-434-98-21)**

Documentation dealing with computer protection elements for a system or application that includes, but is not limited to, descriptions of hardware, software, and information protection functions, contingency and disaster recovery planning, risk assessment, certifications, and computer security questionnaires and checklists.

Destroy when superseded by new specifications, plans, or determinations, or when the system or application to which it applies is decommissioned, unless the system or application is permanent, then transfer to NARA with the system or application.

## **8.3 Technical Surveillance Countermeasures Files. (N1-434-98-21)**

### **a. Threat Files**

Files contain reports of known or suspected technical and nontechnical security information, methodology, technologies used, suspected individual(s) or groups, reports of actions directed against U.S. Government and commercial interest and/or personnel.

Review annually. Destroy when superseded or obsolete.

### **b. Hazard and Penetration Files**

Files provide general and specific design information on known or suspected surveillance devices, electronic anomalies, methodology, and historical technical data. These files are used for technical surveillance threat reference.

Review every 2 years. Destroy when no longer needed.

## **8.4 Security Alarm and Access Control System Files. (N1-434-98-21)**

### **a. System Manufacturers Documentation**

Files include manufacturer's operations and technical manuals for the equipment installed as part of the Security Alarm System. These records include information on individual components, for both the security alarm systems and the electronic access control systems.

Destroy when current system is upgraded or replaced.

### **b. Systems Operations Files**

Files include on-site configuration files for systems operations. Includes information on individual components, systems operations, and how the systems are currently installed for both the security alarm systems and the electronic access control system.

Destroy when current system is upgraded or replaced.

c. Open Storage Approval Records

Files contain on-site records of areas approved for the open storage of classified information. Includes information concerning the motion detection and alarm devices within specific areas.

Destroy when superseded.

d. Activity Journals

These records include all of the user activity and alarm activity for all portions of the alarm and access control system. User activity includes operations of Day/Night mode access of alarmed rooms, and access/exit through card reader controlled doors or access points. Alarm activity includes alarm devices, line supervision, and administrative alarms as they occur. Files consist of System activity journals containing the on-site records for alarm system activity.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

e. Maintenance Records

These records contain all activity concerning preventive and corrective maintenance performed on the alarm system and the sub-components. Files consist of maintenance requests, test reports, schedules, notification letters and maintenance activity journals containing the on-site records for alarm system maintenance activity.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

## **8.5 Master Safeguards and Security Agreements/Security Plans. (N1-434-98-21)**

Records establish the baseline safeguards and security protection strategy and programs for a facility and are an agreement between the cognizant Program Office and other HQ and Field Elements as to the acceptable level of risk to a facility and any measures employed to mitigate unacceptable risk. The Master Safeguards and Security Agreement, Site Safeguards and Security Plan, or Site Security Plan also provide a historical

perspective on facility operations and configuration. In addition, Master Safeguards and Security Agreement, Site Safeguards and Security Plan, or Site Security Plan provide short and long-term planning profiles for safeguards and security operations at a facility.

Destroy 10 years after termination of the facility as a security interest.

#### **8.6 Physical Security Files. (N1-434-98-21)**

Detailed security measures for the physical protection of nuclear material, or for the physical protection and location of equipment and facilities vital to safety. The files include physical security plans, drawings of the physical protection system, alarm system details, and safeguards procedures.

a Facilities subject to licensing (Nuclear Regulatory Commission or Environmental Protection Agency)

(1) If license is granted

Retain until the termination of the license. At termination of license, apply the disposition cited in 8.6b.

(2) If license is not granted.

Retain until the determination is made not to license the facility, then apply the disposition cited in 8.6.b.

b. Facilities not subject to licensing.

Destroy when superseded or obsolete, or 5 years after facility closes, whichever is sooner.

#### **8.7 Foreign Ownership, Control, or Influence (FOCI) Files. (N1-434-98-21)**

a. Unsuccessful bidder files containing their representations as to their ownership and any foreign control or influence, and other information pertaining to foreign ownership, control or influence and whether it may pose an undue risk to national security that has been provided by the unsuccessful bidder or otherwise gathered.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

b. Successful bidder (contractor) files containing original and subsequent representations as to their ownership and any foreign control or influence, and other information pertaining to foreign ownership, control or influence and



whether it may pose an undue risk to national security that has been provided by the contractor or otherwise gathered. Files relating to contract eligibility determinations when foreign ownership, control or influence issues are present.

Cut off 5 years after determination date. Destroy 5 years after cutoff.

#### **8.8 Security Personnel Training Records. (N1-434-98-21)**

Records of Federal Records of Federal and contractor security personnel pertaining to firearms training, qualification, and requalification. See ADM 1, Item 29, for other security personnel training records.

- a. For Federal employees, cut off at the end of the fiscal year. Destroy one year after termination of the individual as a member of the protective force.
- b. For contractor employees, cut off annually. Destroy one year after termination of the individual as a member of the protective force.

#### **9. Survey and Inspection Files (Government-Owned Facilities). (N1-434-98-21)**

Reports of surveys, inspections, and self-assessments of DOE-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to protect information and facilities against sabotage and unauthorized entry.

Cut off at the close of the fiscal year. Destroy 75 years after discontinuance of facility.

#### **10. Survey and Inspection Files (Privately-Owned Facilities). (N1-434-98-21)**

Files include survey, inspection, and self-assessment reports, facility information, and correspondence.

Place in an inactive file upon facility termination. Cut off inactive file at the end of the fiscal year. Destroy 75 years after cutoff.

#### **11. Investigative Files. (GRS 18, item11)**

Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning **occurrences of such a minor nature that they are settled locally without referral to other DOE elements**. Not included here are records related to occurrences (see item 11.1, below), misuse of Government property (see item

11.2, below), or incidents of security concern (see item 11.3, below).

Cutoff at the close of the fiscal year. Destroy 75 years after cutoff unless noted differently below.

### **11.1 Occurrence Reporting Records. (NC 326-75-2)**

Records relating to occurrences as defined by the Assistant Secretary for Environment, Safety and Health. (Includes other types of reporting required to be treated as equivalent to, or use the occurrences reporting system.)

a. Report files maintained by the responsible Program Office.

- (1) Records on occurrences which were of widespread public and congressional interest.

Permanent. Cut off at the end of the fiscal year in which the case was closed. Transfer to NARA 25 years after cutoff. (NC-326-75-2)

- (2) Files on all other occurrences.

Cut off at the end of the fiscal year in which the case was closed. Destroy after cutoff. (NC 326-75-2)

EPI b. Report files maintained by all other offices.

Cut off at the end of the fiscal year in which the case was closed. Destroy 15 years after cutoff. (NC-326-75-2)

EPI c. Correspondence files of organizational units responsible for facility safety program, consisting of reports, statistics, memoranda and correspondence relative to traffic and property damage accidents, including records and statistics relative to summaries of industrial personal injury accidents, (exclusive of cases involving personal injuries which are retained permanently).

Destroy when 10 years old. (II-NN1-1023(2))

d. Records of reports of routine safety inspections, including evidence of action taken.

Destroy when 1 year old. (II-NN1-319(6))

- EPI e. Reports, statistics, and correspondence relative to traffic and property damage accidents, including records relative to summaries of industrial personal injury accidents, exclusive of cases involving personal injury.
- Destroy when 10 years old. (II-NNA-1023(3))
- f. Prescriptions for safety glasses.
- Destroy when 6 months old. (II-NNA-409(25))
- g. Radioactive Waste Disposal or Unplanned Deposition Records.  
(NC1-430-76-9(6)) ALL
- (1) Regulations governing radioactive waste shipments and burials, including DOE orders, Federal regulations and guidelines, and other pertinent standards, guides, and procedures.
- Permanent. Offer to National Archives when no longer needed.
- (2) Records which indicate type of waste (solid, liquid, or gaseous), degree of radioactivity; and for solid waste: date of burial, volume buried, activity level, and storage location.
- Permanent. Offer to National Archives when no longer needed.
- (3) Miscellaneous worksheets, checklists, or other data sheets from which pertinent data has been transcribed to item (2). above.
- Destroy when purpose is served or when 1 year old, whichever is earlier.
- (4) Unplanned deposition records (spills or leaks) or radioactivity.
- Permanent. Offer to National Archives when no longer needed.
- (5) Records of radioactive gaseous wastes discharged to atmosphere and radioactive liquid wastes discharged to surface ground or water.
- Permanent. Offer to National Archives when no longer needed.
- (6) Miscellaneous waste disposal records including transfers from operating building or between tanks, boiloff rates, and intank solidification information provided pertinent data have been transcribed to records which are retained.

Destroy when 1 year old.

**11.2 Misuse of Government Property.** (N1-434-98-21)

Records, correspondence, and related working papers which document the misuse and abuse of government property, equipment, vehicles, or systems while in the custody of government or contractor employees. Records may include infractions of Federal, State, or local laws or ordinances levied against government or contractor employees. See item 11.1 for occurrences as defined by the Assistant Secretary for Environment, Safety, and Health.

- a. Records maintained by DOE elements

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

- b. Records maintained by DOE Contractors.

Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.

**11.3 Incident of Security Concern Inquiry/Investigation Files.** (N1-434-98-21)

Records not covered elsewhere in this Schedule (e.g., in 11.1 above) that pertain to inquiries or investigations into incidents of security concern (e.g., suspected infractions and violations, loss, compromise, or unauthorized disclosure of classified information; unaccounted for classified matter), and to the corrective measures recommended and/or taken.

Cut off upon termination of inquiry or investigation and case is closed. Destroy 5 years after cutoff.

**11.4 Fire Unit Records.**

- a. Alarm, investigation, and incident reports relating to various types of fire alarms and investigations of fires, including source data concerning fires in which fatalities may result or when arson is suspected.

Destroy when 10 years old. (NC-430-76-2(3))

- b. Fire extinguisher history records and fire hose records.

Destroy 1 year after removal of equipment from service. (II-NNA-1858(1B))

- c. Fire extinguisher inspection records showing description of extinguishers, recharging data, and names of inspectors.  
  
Destroy when 1 year old. (II-NNA-2939)
- d. Fire station operating logs.  
  
Destroy when 6 years old. (II-NNA-1858(1C))
- e. Ambulance service reports.  
  
Destroy when 3 years old. (II-NNA-1858(1E))
- f. Fire alarm system tests, radio communications reports on inside and outside fire drills, daily force reports, and building inspectors.  
  
Destroy when 1 year old. (II-NNA-1858(1F))
- g. Auxiliary brigade attendance and training records.  
  
Destroy when 1 year old. (II-NNA-1858(1G))

**12. Property Pass Files.** (GRS 18, item 12)

Property pass files authorizing removal of property or materials.

Destroy 3 months after expiration or revocation.

**13. Guard/Security Police Officer Assignment Files.** (GRS 18, item 13)

Files relating to guard/security police officer assignments and strength.

- a. Ledger records  
  
Destroy 3 years after final entry.
- b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.  
  
Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

**14. Police Function Files.** (GRS 18, item 14)

Files relating to exercise of police functions.

- a. Ledger records of cars ticketed, and outside police contacts.  
Destroy 3 years after final entry. (GRS 18, item 14)
- b. Ledger records of arrest.  
Destroy 7 years after final entry. (N1-434-98-21)
- c. Reports, statements of witnesses, warning notices, and other documents relating to arrest, commitments, and traffic violations.  
Cut off at the end of the fiscal year. Destroy 7 years after cutoff. (N1-434-98-21)
- d. Reports on contact of outside police with building occupants.  
Cut off at end of the fiscal year. Destroy 1 year after cutoff. (GRS 18, item 14c)

**15. Personal Property Accountability Files.** (GRS 18, item 15)

Files relating to accountability for personal property lost or stolen.

- a. Ledger files.  
Cut off at the end of the fiscal year in which the case was closed. Destroy 3 years after cutoff.
- b. Reports, loss statements, receipts and other documents relating to lost and found articles.  
Cut off at the end of the fiscal year. Destroy when 1 year old.

**16. Key Accountability Files.** (GRS 18, item 16)

Files relating to accountability for keys issued.

- a. For Limited Areas and higher Security Areas and/or for the protection of classified matter or special nuclear materials.

Maintain active inventory of keys. For replaced and lost keys determined to be unrecoverable, place records in inactive file.

Cut off inactive file annually. Destroy 3 years after cutoff.

- b. For other areas.

Destroy 6 months after turn in of key.

## **17. Visitor Control Files. (GRS 18, item 17)**

Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

- a. For areas under maximum security.

Destroy 5 years after final entry or 5 years after date of document, as appropriate.

- b. For other areas.

Destroy 2 years after final entry or 2 years after date of document, as appropriate.

### **17.1 Visitor Access Approval Files. (N1-434-97-7)**

Correspondence and forms created to document that visitors are authorized access to classified and/or unclassified sensitive information and/or security controlled areas. Files contain data for each visit to a DOE facility, consisting of access approvals together with related correspondence.

- a. Files retained by sites (incoming visitor control) with potential for exposure to hazardous material.

Cut off at the end of the fiscal year. Destroy 75 years after cutoff.

- b. Files retained by sites (incoming visitor control) without potential for exposure to hazardous material.

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

- c. Files retained by requesting office (outgoing visitor control).

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

- d. Duplicate copies used to notify other on-site offices of the intended visit or when essential information is transferred from DOE F 5631.20 to another record media or electronic system.

Cut off at the end of the fiscal year. Destroy 1 year after cutoff.

**18. Facilities Check Files.** (GRS 18, item 18)

Files relating to periodic security force facility checks.

- a. Data sheets, door slip summaries, check sheets, and reports on security violations (except copies in files of agency security offices referenced in item 24).

Destroy when 1 year old.

- b. Reports of routine after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files referenced in item 24.

Destroy when 1 month old.

**19. Security Service Control Files.** (GRS 18, item 19)

- EPI
- a. Control center key or code records, emergency call cards, and building record and employee identification cards.

Destroy when superseded or obsolete.

- b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.

Destroy when 1 year old.

- c. Automatic machine patrol charts and registers of patrol and alarm services.

Destroy when 1 year old.

- d. Arms distribution sheets, charge records, and receipts.

Destroy 3 months after return of arms.



**20. Logs and Registers.** (GRS 18, item 20)

Security/Guard logs and registers not covered elsewhere in this schedule.

- a. Central security office master logs.

Destroy 2 years after final entry.

- b. Individual security post logs of occurrences entered in master logs.

Destroy 1 year after final entry.

**PERSONNEL SECURITY RECORDS**

Records accumulating from investigations of personnel conducted under statutory, Presidential, or DOE directive requirements.

**21. Security Clearance/Access Authorization Administrative Subject files.**  
(N1-434-98-21)

Files maintained by individual security offices for purposes of managing operations of personnel security. Files include, but are not limited to, forms, lists, and correspondence documenting the type of clearance/access authorization and date it was granted and subsequent actions were taken; briefing and debriefing statements; and lists of individuals granted access authorizations by assigned numbers.

- a. Correspondence granting access authorizations not maintained in official personnel files.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff,

- b. Briefing and debriefing statements including related correspondence.

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

- c. Termination statements, cards, or correspondence not maintained in official personnel file.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff.

- d. Lists identifying employee by assigned number used for indexing or reference.

Cut off at the end of the fiscal year. Destroy when related records are destroyed

or when no longer needed for reference.

- e. Reports related to personnel security issues.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

- f. Outgoing transfer record tracking files for personnel security files sent to other DOE facilities.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

**21.1. Security Clearance/Access Authorization Administrative Subject Files Policy**  
(N1-434-98-21)

Files which document the official policy, standards, and procedures for the administration of DOE's personnel access authorization program.

- a. Program and policy guides, access authorization manuals, and documents used as guides in administering the security program. Includes Doe action and information papers concerning access authorization policy.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.

- b. Files documenting the development of access authorization policy, includes policy studies.

Cut off when superseded. Destroy 20 years after cutoff.

- c. Procedures implementing DOE access authorization policy and guides.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff.

**21.2 Administration and Operation.** (GRS 18 item 21)

Correspondence, reports, and other records relating to administration and operation of the personnel access authorization program, not covered elsewhere in this schedule. (GRS 18, item 21)

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

### **21.3 Pre-Employment Background Investigation. (N1-434-98-21)**

Pre-employment background files include records of investigations for DOE and contractor employees and consultants, subcontractors, and their employees and consultants, and other others seeking employment or who otherwise require a access authorization. The files are used to determine the eligibility of granting access authorizations and may include the following letters and completed forms for each individual being considered: drug screen consent, credit reports, authorization for release of information, request to process, negative drug screen results, letters generated from personnel security requesting information on applicants police, driving, academic, previous employment, military, and personal references, subcontractor employment application, security acknowledgment, medical records including employee assistance program, and employment eligibility verification.

For legal purposes, if an applicant is not approved for hire it is necessary to retain the pre-employment files to permit reconstruction or validation of actions taken in the event of appeal or legal action. (If applicant is hired, the pre-employment investigation file is transferred to the person's personnel security file).

- a. For those approved but not hired.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff or date of background investigation.

- b. For those disapproved for hire.

Cut off at the end of the fiscal year. Destroy 5 years after cutoff or date of pre-employment background investigation.

### **22. Security Clearance/Access Authorization Case Records. (N1-434-98-21)**

Personnel security and administrative review files created under Atomic Energy Act, Executive Order, Code of Federal Regulations, and DOE directive requirements and procedures, and related indices maintained by DOE personnel security offices at DOE Headquarters and Field Elements.

- a. Personnel Security files document the processing of individuals for DOE access authorizations (security clearances), regardless of whether access authorizations are granted. These files may include copies of the following: pre-employment investigations; requests and justifications for access authorizations, security forms, reports of background investigation(s); personnel security interview transcripts and/or summaries (including the audio cassettes), case evaluation sheets, security incident/infracton report forms; correspondence with the individuals, the

individuals' employers, and other agencies, Standard Forms 312; security badge information, medication evaluations, security termination statements, and other material relevant to the access authorization process.

Cut off file upon termination of processing or when access authorization is terminated and place in an inactive file maintained by fiscal year. Retire to Federal Records Center 5 years after cutoff. Destroy 75 years after cutoff. (**Note:** Health issues required extending a 10-year retention requirement to one of 75 years. If the health-based requirement is changed or withdrawn, Field Elements will be notified.) Prior to destruction, remove and retain a copy of the individual's Personnel Security Questionnaire or equivalent document for the Health and Mortality Study.

- b. Administrative Review Files document the processing of individuals under Title 10, Code of Federal Regulations, Part 710 (10 CFR 710) for denial or revocation of their access authorizations, regardless of whether final determinations are rendered. Each file may include a copy of the following: request/approval for administrative review processing, DOE Notification Letter and other correspondence to and from the individual and/or representative; correspondence to and from the DOE Hearing Officer, hearing transcript and exhibits; case consolidation memorandum; and other material relevant to the administrative review process.

Cut off file upon termination of processing or when access authorization is determined and placed in an inactive file maintained by fiscal year. Retire to Federal Records Center 5 years after cutoff. Destroy 75 years after cutoff.

- c. Indices consisting of file index cards are maintained alphabetically in "active" and "inactive" files as back-up to the records maintained on the Central Personnel Clearance Index, and they are retained for at least 75 years for health research, otherwise, indefinitely. Other indices related to Personnel Security Records are destroyed with the related file(s)."

**23. Security Clearance/Access Authorization Status Files. (N1-434-98-21)**

Lists of rosters showing the current access authorization status of individuals,

Cut off and place in inactive file when superseded or obsolete. Destroy 75 years after cutoff.

**24. Security Violations Files.** (GRS 18, item 24)

Copies of “Report of Security Incident/Infraction,” or similar forms or reports that are placed in Personnel Security files are handled in accordance with item 22, above. Other documentation relating to infractions or violations is handled in accordance with items 11.1 and 11.3, above.

**25. Classified Information Nondisclosure Agreements.** (N1-434-98-21)

Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified pursuant to a Federal statute or Executive Order. These forms should be maintained separately from personnel access authorization files. Agreements for civilian employees working for elements of the intelligence community must be maintained separately from the official personnel folder. For all other persons, these forms may be filed in the individual’s official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees), (or contractor’s equivalent file).

- a. If maintained separately from the individual’s official personnel folder (or contractor’s equivalent).

Destroy when 70 years old.

- b. If maintained in the individual’s official personnel folder.

Apply the disposition for the official personnel folder.

**EMERGENCY PLANNING RECORDS**

Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.

**26. Emergency Planning Administrative Correspondence Files** (GRS 18, item 26)

Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.

Destroy when 2 years old.

## **26.1 Emergency Planning Program Correspondence (N1-434-98-21)**

Records that document the policy, program, standards, and procedures pertaining to the administration of the emergency planning program.

- a. Program and policy guides, information papers, operational manuals, and documents used as guides for determining appropriate DOE action. Unless issued as a DOE directive, a record copy of Departmental emergency plans.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.

- b. Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting Department-wide results of tests conducted under emergency plans.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.

- c. Files documenting the development of policy, including policy studies.

Cut off when superseded. Destroy 10 years after cutoff.

- d. Procedures and activities implementing DOE policy and guides.

Cut off at end of the fiscal year. Destroy 6 years after cutoff.

## **27. Emergency Planning Case Files. (GRS 18, item 27)**

Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, see item 26 1a, above.

Destroy 3 years after issuance of a new plan or directive.

## **28. Emergency Operations Tests Files (GRS 18, item 28)**

Files accumulating from tests conducted under Doe emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports, see item 26.1b, above.

Destroy when 3 years old.

**29. National Defense Executive Reserve (NDER) Case Files (GRS 18, item 29)**

Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in national security emergencies, including qualifications statements, other personnel and administrative reports, skills inventory, training data, and other records relating to administration of the NDER program.

- a. Case files on reservists.

Place in inactive file upon termination. Cut off inactive file at the end of the fiscal year. Destroy 5 years after cutoff.

- b. Case files on individuals whose applications were rejected or withdrawn.

Place in inactive file. Cut off inactive file at the end of the fiscal year. Destroy 5 years after cutoff.

**30. Through 34. Reserved**

**SAFETY RECORDS**

**35. Records that Demonstrate the Capability for Safe Operation. (N1-430-76-6-1a)**

Records include the activities involved in the planning, design, manufacture, construction, installation, test, and operation of equipment, structures, plants, and systems, any of which are or will be engaged in, or part of, "operations." Included are records of initial siting and geological aspects.

- EPI a. Records of Individuals. Authorizing documents, training certificates, procedures, and other records of a similar or a related nature that demonstrate that individuals have the capability for engaging in, or otherwise conducting safe operations. Operations may involve the design, construction, installation, test, handling, manufacture, use, packaging, shipping, control, operation, and disposition of items. Items may either be used, or planned for use in relation to, or with, other items. Items include machinery, equipment, structures, plants, materials, spent fuel, waste, and systems.

Destroy in accordance with recordkeeping requirements in Title 10 of the U.S. Code of Regulations for sites subject to Nuclear Regulatory Commission (NRC) regulations. Other sites comply with the requirements for recordkeeping in DOE Orders and DOE schedules and their items; other than this item. In the absence of these requirements, apply the following: When the employee currently or in the future will no longer perform an activity for which documentation of qualifications

to perform that activity is required. This includes that documentation that the employee has successfully performed the activity if such documentation establishes the qualification to again perform the activity, or a related activity. (Note: Sites complying with NRC's requirements; First, cite the NRC requirement and Second, cite this item as authority.)

Excluded from this disposition authority are the records required to document employees' individual case files that reflect the performance of all assigned tasks (hazardous and non-hazardous) for those employees who may be assigned tasks that involve hazards.

- EPI    b.    Records of "Items" Authorizing documents, procedures, and other records that demonstrate that control systems, materials control systems, and items that will be used in operations, have the capability for safe use. Items as used here include sites, facilities, structures, plants, materials, spent fuel, waste, machinery, equipment, and systems, or discrete parts thereof.

Destroy in accordance with recordkeeping requirements in Title 10 of the U.S. Code of Regulations for sites subject to Nuclear Regulatory Commission regulations. Other sites comply with the requirements for recordkeeping in DOE Orders and DOE schedules and their items, other than this item. In the absence of these requirements, apply the following: Destroy 5 years after the date of completion of either a task or performance of an activity or action for which the documentation will have no future applicability for demonstrating an item's capability for safe operation. Additionally, destroy either upon an item's permanent removal from service, or upon permanent termination of the item's use, unless the documentation will be applicable to a replacement item. (Note: Sites complying with NRC's requirements, First, cite the NRC requirement and Second, cite this item as authority.)

**36.    Records that Verify the Performance of Safe Operations. (N1-430-76-6-1b)**

Records which verify that an activity was performed in accordance with applicable requirements for safe operations, but need not be retained for the working life of the individual or for the life of the item, or discrete part thereof. Items as used here include sites, facilities, structures, plans, materials, machinery, equipment, and systems. (Excluded are nuclear materials accountability records.)

Destroy in accordance with recordkeeping requirements in Title 10 of the U.S. Code of Regulations for sites subject to Nuclear Regulatory Commission regulations. Other sites comply with the requirements for recordkeeping in Doe orders and Doe schedules and their items, other than this item. In the absence of these requirements, apply the following: Cut off the records at the end of the fiscal year, and destroy them 5 years after



the date of the completion of the task or the completion of the performance of the activity or the action. This includes records of an individual's performance unless these records either reflect "qualifications" or performance where hazardous activities may be performed. See item 35.1a, above. Additionally, destroy upon the item's permanent removal from service, or upon the permanent termination of the item's activity. (Note: Sites complying with NRC's requirements, First, cite the NRC requirement and Second, cite this item as authority.)

**37. Safe Work Permits.** (N1-434-89-10, Item 2)

Safe work permits are used to designate the approval for employees to work on a potentially hazardous job or in a potentially hazardous area. They contain the job description, instructions to workers, the protective clothing and equipment required. They include the name of the workers, approval signatures of responsible supervision, and the date(s) the work is done.

Destroy 75 years after the date of the permit.

**38. Through 41. Reserved**

**COMMUNICATIONS SECURITY RECORDS**

**42. Communications Security Records (COMSEC) Records.** (NN-167-141)

COMSEC records consisting of forms, reports, and correspondence recording or relating to the accountability, transfer, inventory, receipt, and destruction of COMSEC materials.

a. Records of Departmental COMSEC custodian

Destroy when 5 years old. (NN-167-141)

b. COMSEC card files

Retain until COMSEC account is closed. (N1-434-98-21)

c. Key card and key list usage reports.

Destroy when 1 month old, provided destruction report has been prepared and sent to DOE COMSEC custodian. (N1-434-98-21)

d. Other COMSEC accounting records.

Destroy when 1 year old, provided reconciliation of COMSEC material has been

completed. (NN-167-141)

**43. Through 47. Reserved**

**NUCLEAR MATERIALS CONTROL, AND ACCOUNTABILITY RECORDS**

This schedule covers special material accountability records which pertain to documentation involved in the allocation and transfer of nuclear material. Transfer of special nuclear material, DOE-owned source material, and certain other DOE-owned material transferred within the United States or between the United States and foreign entities is controlled. The records covered are material transfer, reporting, inspections, requests for material, allotments, and allocations.

**48. Radioactive Material Packing and Shipping Records. (NC1-430-76-7)**

EPI Shipping packaging records including Certificates of Compliance, Safety Analysis Reports for Packaging (SARP), evaluations of SARPs, licenses, amendments to licenses, and quality assurance records documenting packaging design, fabrication, maintenance, and use in compliance with established safety and engineering standards.

Destroy 5 years after Certificate of Compliance has terminated, unless information is received indicating that renewed use is definitely anticipated.

**49. Requests for Materials. (II-NNA-1735(2))**

EPI Requests for special, source, and fissionable materials: files maintained by accountability stations to authorize and control the use of these materials under the allotment system, and in accounting for transfers.

Cut off at the end of the fiscal year. Destroy 4 years after cutoff.

**50. Materials Allotment Files Source and Special (SS) Nuclear Materials. (N1-434-98-21)**

Records documenting requests for annual allotments and special allotments of source and special nuclear materials and actions taken by higher authority in concurring with or amending estimated requirements, and in establishing allotments.

a. Reserved.

EPI b. Files of operations offices pertaining to each organization requesting source and special nuclear materials; and consolidated requests for allotments, together with related correspondence.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.  
(II-NNA-1735 [1B])

**51. Materials Allocation Files Special Research and Reactor Materials.**  
(II-NNA-1735[3A])

Records concerning estimated requirements of beryllium, zirconium, hafnium, heavy water and graphite.

- EPI a. Files of offices with authority to make allocations, together with related old correspondence.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.  
(II-NNA-1735[3A])

- EPI b. Files of operations offices consisting of estimates submitted by contractors projecting special material needs over a 3-year period.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff. (N1-434-98-21)

- EPI c. Files of approved allocations in area offices which handle the supplying of special materials.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff. (N1-434-98-21)

**52. Accountability Reports.**

Source and special nuclear materials balance and accountability reports files consisting of periodic reports and related documents compiled and submitted by contractors, lessees, and DOE Field Offices, and including the files of the staff division responsible for the administration of the SS Material Accountability System.

- a. Report files of the staff division administering the accountability system.

- EPI (1) June 30, and December 31, reports. (NN-167-78[1A])

Destroy when 25 years old.

- (2) All others

Destroy when 5 years old. (NN-167-78[1A])

- b. Report files of Materials Leasing Office, including related correspondence
- EPI (1) June 30, and December 31, reports submitted by lessees.  
Destroy when 25 years old. (NN-166-78)
- (2) All Others  
Destroy when 5 years old (NN 167-78)
- c. Report files of Field Offices, including related correspondence.  
Destroy when 4 years old. (NN-166-78)

### **53. Reports of Apparent Losses.**

Reports of apparent losses of source or nuclear material (losses as defined by DOE directives).

- a. Cases which are of widespread public, governmental, or congressional interest subject to review every 10 years to verify that reports should remain in that category.  
Permanent. Offer to the National Archives when 25 years old.  
(NC-430-76-3[5A])
- EPI b. Others, subject to review every 10 years to ascertain that report still represents an apparent loss.  
Destroy when 25 years old. (NC-430-76-3[5B])

### **54. Reports of Shipper-Receiver Measurement Differences**

Reports of shipper-receiver measurement differences pertaining to transfers of SS material between installations under the same operations office and under different operations offices, and containing conclusions, recommendations, and resolutions of the measurement differences.

- a. Copies forwarded to staff office administering the SS accountability system.  
Destroy when 3 years old. (II NNA-1735(7A))
- b. Copies filed in operations offices and in shipping and receiving installations.

Destroy when 2 years old. (II NNA-1735(7B))

**55. SS Transfer Journals.**

EPI Accountability stations maintain SS transfer journals as a continuing control record of contractors' inventories, to which are posted receipts and shipments of SS materials.

Destroy 3 years after date of last entry. (II NNA-1735(4))

**56. SS Material Transfer Files.**

EPI Transfer files consist of records used to account for SS material transfers from one unit to another within production plants or facilities, or between such plants (inter and intra plant transfers)

Destroy after 1 year, providing DOE audit has been completed. (NN-165-90)

**57. SS Material Shipping Form Files.**

Files consist of DOE/NRC Form 741s, or equivalent Forms, used in the transfer of source and special nuclear materials, or other material controlled by the SS materials accountability system.

EPI a. Copies filed in DOE offices. (II NN-3225)

Destroy when 3 years old.

EPI b. Copies filed in shipping and receiving contractor installations. (II NN-3225)

Destroy after audit by DOE accountability survey team.

**58. Electronic Mail and Word Processing System Copies. (N1-434-98-21)**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal file, personal

electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.